


Inter-Office  
MEMORANDUM

DEPARTMENT OF PUBLIC SAFETY

No. \_\_\_\_\_

Suspense: \_\_\_\_\_


March 8, 2016

TO: ALL CONCERNED  
FROM:   
Nolan P. Espinda, Director  
SUBJECT: AMENDMENTS TO COR.14.26: OFFENDER ASSESSMENT  
PROTOCOLS

The following are the significant changes to COR.14.26, effective March 8, 2016, and supersedes COR.14.26, effective January 15, 2016.

- 1) Added definitions for ASUS and RTL, and supplemented definitions for Criminogenic Needs and ICIS. Updated Certification passing level scores.
- 2) Under Procedures, added guidelines for administering LSI-R and ASUS.
- 3) Due to the new Section .1, increased the numbering on subsequent sections.
- 4) Added guidelines to Section .6, Correctional Facilities (Out-of-State).
- 5) Other minor grammar and format changes.

If you require any clarification, please contact Shelley Nobriga at 808-587-1415 or [shelley.d.nobriga@hawaii.gov](mailto:shelley.d.nobriga@hawaii.gov).

	<b>DEPARTMENT OF PUBLIC SAFETY</b>  <b>CORRECTIONS ADMINISTRATION</b> <b>POLICY AND PROCEDURES</b>	<b>EFFECTIVE DATE:</b> March 8, 2016	<b>POLICY NO.:</b> COR.14.26
		<b>SUPERSEDES (Policy No. &amp; Date):</b> COR.14.26 (01/15/16) COR.14.26 (11/30/11)	
	<b>SUBJECT:</b> <b>OFFENDER ASSESSMENT PROTOCOLS</b>		Page 1 of 5

## 1.0 PURPOSE

To implement the use of department-wide standardized protocols for adult sentenced offender assessment instruments.

## 2.0 REFERENCES AND FORMS

### .1 References:

- a. Department of Public Safety (PSD), Policy & Procedure (P & P), COR.18.07, Exception Case.
- b. Hawaii Revised Statutes (HRS) § 353-6, Establishment of Community Correctional Centers.
- c. HRS § 353-62, Hawaii Paroling Authority (HPA); Responsibilities and Duties; Operations; Records, Reports, Staff
- d. Memorandum of Agreement (MOA) between the Department of the Attorney General (AG), Department of Public Safety (PSD), Department of Health (DOH), and the Judiciary, State of Hawaii, effective April 17, 2002.

### .2 Forms:

- a. PSD 8202 – Exception Case form (attached).

## 3.0 DEFINITIONS

- .1 ASUS – Adult Substance Use Survey.
- .2 Certification: Passing scores of 3 or less scoring errors on the LSI and a .48 or greater entry-level MI score.
- .3 Criminal Justice Agencies: The Probation Divisions, the PSD, and the Hawaii Paroling Authority (HPA).
- .4 Criminogenic Needs: Attributes that are directly linked to criminal behavior. These attributes are also known as the Central Eight: Antisocial Attitudes, Antisocial Personality, Antisocial Behavior, Antisocial Associates, Family/Marital

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Discord, School/Work Performance, Few Leisure/Recreation Activities and Substance Abuse.

- .5 Cyzap: Internet database used by all Criminal Justice agencies to store the offender's scores.
- .6 Face to Face Contact: An interview by the assigned officer with the offender at the office, work place, home or other appropriate sites to provide counseling, acquire information, and provide information as part of his/her supervision.
- .7 Interagency Council on Intermediate Sanctions Policy Group (ICIS): A group established by Order of Appointment, issued by Chief Justice Ronald Moon, January 11, 2002, in a cooperative interagency agreement between the Judiciary, Department of Public Safety, Department of Health and the Attorney General's office, whose goal is to reduce recidivism and prevent future victimization by adult offenders.
- .8 Level of Service Inventory-Revised (LSI-R): A predictive risk and needs scale that assesses an offender's propensity for further unlawful and rule-violating behavior based upon criminal history and dynamic risk factors.
- .9 Offender: Any person incarcerated or detained in a prison, or jail, community correctional center.
- .10 RAD: Reception, Assessment, Diagnostic Unit that conducts an Initial Classification, Level of Service Inventory-Revised (LSI-R), Adult Substance Use Survey (ASUS), and a prescriptive plan for services based on information from the LSI-R and ASUS on all newly sentenced inmates in the Hawaii correctional system
- .11 Reassessment: A file and/or face-to-face interview to review an offender's risk/needs after the initial LSI and ASUS.
- .12 RTL – Recommended Treatment Level.
- .13 Supervision Standards: Minimum required supervision tasks and activities determined by the offender's classification.
- .14 Supervisor(s): Corrections Supervisor(s)

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#### 4.0 POLICY

- .1 PSD shall ensure that all eligible offenders including those in contracted out-of-state facilities, are administered the LSI-R/ASUS by certified staff in a timely manner.
- .2 PSD shall be responsible for a common information system platform containing current offender-based information for interagency collaboration.
- .3 PSD shall be responsible for quality assurance in the application of the assessment instruments, and ensuring that any significant changes hereto shall conform to the goal of the Interagency Council on Intermediate Sanctions (ICIS).

#### 5.0 PROCEDURES

- .1 Only certified case workers shall conduct the LSI-R and ASUS assessments. Substance abuse staff are not eligible to conduct the LSI-R and ASUS assessments.
  - a. Any case worker who is required to perform LSI-R and ASUS assessments and his/her supervisor, shall be required to obtain his/her certification.
  - b. ICIS offers training for LSI-R and ASUS certification at scheduled times during the year.
  - c. Certified case workers shall undergo re-certification as determined by ICIS.
- .2 ASUS shall be administered only during the initial assessment. Subsequent assessments shall be done only with the LSI-R.
- .3 If a significant event has occurred affecting any of the eight (8) criminogenic factors of an inmate, the LSI-R should be re-assessed.
- .4 After the LSI-R assessment interview with the inmate, case workers are to have the inmate complete the self-report ASUS questionnaire in the case worker's office.
  - a. While the inmate is completing the self-report ASUS questionnaire, the case worker shall total up the LSI-R scores to see if additional information is needed from the inmate in order to achieve a more accurate score.

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- b. Upon completion of the self-report ASUS questionnaire and the calculation of the LSI-R scores, the case worker shall provide feedback to the inmate if the inmate so requests.

**.5 Correctional Facilities (In State)**

- a. All newly sentenced offenders entering the RAD Unit shall have a LSI-R and ASUS completed by trained and certified staff within 60 days of admission. Only the initial LSI-R/ASUS, Summary Scores, Recommended Treatment Level shall be used to assign inmates to the appropriate level of substance abuse treatment. Overrides shall only be made by the Substance Abuse Programs Manager or designee.
- b. RAD staff shall use the results of the LSI-R and ASUS to identify appropriate program and treatment level when completing the Initial Prescriptive Plan.
- c. Inmates, who may be eligible for parole, transfer to a minimum or community based facility, or have been transferred to a minimum or community facility, shall be assessed as follows:
  - 1) LSI-R reassessment shall be completed on all inmates within 24 months prior to their parole eligibility date.
  - 2) LSI-R reassessment shall be completed as part of the inmate transfer request packet submitted to the Inmate Classification Office for transfer to a minimum or community based facility. The reassessments shall be done within six (6) months prior to transfer to the minimum or community based facility.
  - 3) Staff shall reassess LSI-R scores every 6 months upon admittance into a minimum or community-based facility or when any significant event affects the eight (8) criminogenic factors identified in the LSI-R.
  - 4) LSI-R Instrument shall be completed within 30 days of placing an inmate on furlough and within 60 days upon placing an inmate on extended furlough.
- d. Staff may request a custody override to a program and/or an identified level of treatment when an inmate has demonstrated exemplary institutional behavior over a substantial period of time. This information shall accompany a request for such an exception through PSD 8202.

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- e. Staff shall enter the completed LSI-R and ASUS information into the Cyzap Internet database.

**.6 Correctional Facilities (Out-of-State)**

- a. All inmates transferred out-of-state shall have a current LSI-R and ASUS completed by the sending facility. If the inmate was not assessed prior to transfer to the mainland facility, then the receiving facility shall perform the assessments.
  - 1) If an offender is transferred from an in-state facility, and the LSI-R and ASUS were completed on the inmate during the initial intake, then only the LSI-R shall be administered.
- b. LSI-R reassessments shall be completed by the Mainland Branch staff on all inmates returning to In-State Correctional Facilities for furlough, sex offender treatment programs, and parole, prior to their return to the State.
- c. Mainland Branch staff shall enter the completed LSI-R and ASUS information into the Cyzap Internet Database.

**6.0 RESPONSIBILITY**

- .1 Wardens or their designees shall ensure that all staff are properly trained and certified in the use of the LSI-R and ASUS.
- .2 Supervisors shall ensure that staff is appropriately trained to complete the LSI-R and ASUS instruments.
- .3 Supervisors shall ensure that staff is properly trained to enter and retrieve LSI-R and ASUS data from the Cyzap Internet database.
- .4 Supervisors shall ensure that the LSI-R and ASUS initial and reassessment instruments are completed on all offenders meeting the criteria in a timely manner, as outlined in section 5.1.c.
- .5 Supervisors shall be responsible for conducting random reviews of staff interviews and scoring of the LSI-R and ASUS instruments to maintain consistency in scoring and to identify any (gross) scoring errors.

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- .6 Supervisors shall be responsible for identifying staff in need of retraining and developing an action plan. Such plan shall be submitted to the warden or designee for approval.
- .7 Supervisors shall be responsible for conducting random case reviews to ensure the LSI-R and ASUS data are being used as part of the case planning process.
- .8 Supervisors shall be responsible for reviewing, and approving, or disapproving any request for score over-rides.

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## 7.0 SCOPE

This policy applies to all Wardens or designees, corrections supervisors and staff assigned to assess and evaluate offenders.

APPROVAL RECOMMENDED:

Godwin J. Masaka-Huataw  
Deputy Director for Corrections

March 8, 2016  
Date

APPROVED:

John P. Espinoza  
Director

March 8, 2016  
Date

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STATE OF HAWAII  
DEPARTMENT OF PUBLIC SAFETY

EXCEPTION CASE FORM

Date: \_\_\_\_\_

Name of Inmate: \_\_\_\_\_

SID #: \_\_\_\_\_

Current Facility Location: \_\_\_\_\_

Computed Custody Score: \_\_\_\_\_ Recommended Custody: \_\_\_\_\_

Reason for Exception Case Recommendation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Submitted By: \_\_\_\_\_

\_\_\_\_\_  
(Facility Classification Coordinator/Designee)

\_\_\_\_\_  
Date

Reviewed By: \_\_\_\_\_

\_\_\_\_\_  
(Warden/Designee)

\_\_\_\_\_  
Date

Forward this from to the Department Inmate Classification Officer along with:

- 1) Completed Classification Instrument(s)
- 2) Exception Case Summary

Approved/Disapproved: \_\_\_\_\_

\_\_\_\_\_  
(Department Classification Officer)

\_\_\_\_\_  
Date

If disapproved, reason: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

When disapproved by the Classification Officer, exception case to automatically be sent to the Deputy Director for appeal and review.

**Exception Request Granted / Not Granted.**

\_\_\_\_\_  
(Deputy Director for Corrections)

\_\_\_\_\_  
Date